



Atty Docket: 4652/1B

2164  
#5  
BT  
12.5-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Agarwal et al.  
Serial No. : 10/026,359 Examiner:  
Filed : Dec., 24, 2001 Group Art Unit: 2164  
Title : Method And System For Computer-Implemented Trading Of  
Secondary Market Debt Securities

Commissioner for Patents  
Washington, D.C. 20231

IDS TRANSMITTAL LETTER

Sir:

Applicants respectfully submit the enclosed information disclosure statement including (1) a citation list, and (2) a copy of each reference cited. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing each of the references on the enclosed citation list. Please return a copy of the initialed list to the applicants' undersigned Attorney.

This IDS is being filed prior to the mailing date of a first office action.

Statement under 37 CFR 1.97(e)(1)

Each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS.

Although no fee is believed to be due, the Commissioner is hereby authorized to charge any deficiency in fees or fees that may be required, or to credit any overpayments, to the undersigned attorney's Deposit Account No. 02-4270.

Respectfully submitted,

Dated: 11-6-02

Ralph F. Hoppin  
Ralph F. Hoppin, Reg. No. 38,494  
Attorney for Applicant  
BROWN RAYSMAN MILLSTEIN  
FELDER & STEINER LLP  
900 Third Avenue  
New York, NY 10022  
(212) 895-2000

I hereby certify that this paper is being deposited this date with the  
U.S. Postal Service as First Class Mail addressed to:  
Commissioner for Patents, Washington, D.C. 20231

Ralph F. Hoppin  
Ralph F. Hoppin

11-6-02  
Date

RECEIVED  
NOV 18 2002  
GROUP 3600



<b>INFORMATION DISCLOSURE CITATION LIST</b>	<b>Atty. Docket No.:</b> 4652/1B	<b>Application Serial No.:</b> 10/026,359
	<b>Applicants:</b> Agarwal et al.	
	<b>Filing Date:</b> Dec. 24, 2001	<b>Group Art Unit:</b> 2164

**U.S. PATENT DOCUMENTS**

Exam. Init	Document Number	Date	Name	Class	Subclass
	6,029,146	2/22/00	Hawkins et al.		

**FOREIGN PATENT DOCUMENTS**

Exam. Init.	Document Number	Date	Country	Class	Translation

**OTHER DOCUMENTS** (including Author, Title, Date, Pertinent Pages, etc.)


<b>Examiner:</b>	<b>Date Considered:</b>
------------------	-------------------------

**RECEIVED**  
NOV 18 2002  
**GROUP 3600**